

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

Gregory D. Mills, et al.

Date: June 29, 2001

Serial No.: not yet known

Group Art Unit: not yet assigned

Filed: June 29, 2001

Examiner: not yet assigned

For: CREDIT HANDLING IN AN ANONYMOUS TRADING SYSTEM

Asst. Commissioner for Patents

Washington, D.C. 20231

PRELIMINARY AMENDMENT

Preliminary to the examination of the above-identified application, please amend the application as follows:

FEE CALCULATION

No fee is required.

In the event the actual fee is greater than the payment submitted or is inadvertently not enclosed or if any additional fee during the prosecution of this application is not paid, the Patent Office is authorized to charge the underpayment to Deposit Account No. 15-0700.

CONTINGENT EXTENSION REQUEST

If this communication is filed after the shortened statutory time period had elapsed and no separate Petition is enclosed, the Commissioner of Patents and Trademarks is petitioned, under 37 C.F.R. §1.136(a), to extend the time for filing a response to the outstanding Office Action by the number of months which will avoid abandonment under 37 C.F.R. §1.135. The fee under 37 C.F.R. § 1.17 should be charged to our Deposit Account No. 15-0700.

AMENDMENTS

☒ If checked, amendments to the claims are submitted herewith.

Claims:

Please amend claims 7 and 8 pursuant to 37 C.F.R. § 1.121(c)(i) as set forth in the “clean” version attached hereto as Appendix A. Entry is respectfully requested. A version with markings to show the changes made pursuant to 37 C.F.R. § 1.121(c)(ii) is attached hereto as Appendix B.

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REMARKS/ARGUMENT

Claims are amended to eliminate multiple dependencies in claims dependent (directly or indirectly) from multiple dependent claims.

EXPRESS MAIL CERTIFICATE

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail Post Office to Addressee (mail label #EL075473375US) in an envelope addressed to: Asst. Commissioner for Patents, Washington, D.C. 20231, on June 29, 2001

Dorothy Jenkins

Name of applicant, assignee or
Registered Representative



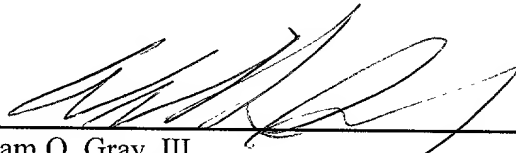
Signature

June 29, 2001

Date of Signature

WOG:dmk

Respectfully submitted,



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APPENDIX A
“CLEAN” VERSION OF EACH PARAGRAPH/SECTION/CLAIM
37 C.F.R. § 1.121(b)(ii) AND (c)(i)

CLAIMS (with indication of amended or new):

Amended 7. An anonymous trading system according to any of claims 1-4, wherein the credit adjustment means and the credit limit storage means together store the credit limit between the trading floor and each possible counterparty, and for each counterparty the amount of credit utilised, the amount of each deal, whether each deal is a buy or sell and the amount of credit available for further trades.

Amended 8. An anonymous trading system according to any of claims 1-4, wherein the matching engine and the market distribution means together form a single broking node of the communications network, the network comprising a plurality of broking nodes.

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APPENDIX B
VERSION WITH MARKINGS TO SHOW CHANGES MADE
37 C.F.R. § 1.121(b)(iii) AND (c)(ii)

CLAIMS:

7. An anonymous trading system according to any of claims 1-4 [previous claims], wherein the credit adjustment means and the credit limit storage means together store the credit limit between the trading floor and each possible counterparty, and for each counterparty the amount of credit utilised, the amount of each deal, whether each deal is a buy or sell and the amount of credit available for further trades.

8. An anonymous trading system according to any of claims 1-4 [previous claim], wherein the matching engine and the market distribution means together form a single broking node of the communications network, the network comprising a plurality of broking nodes.

TO BE DELETED